

U.S. Department
of Transportation

United States
Coast Guard



Commandant
United States Coast Guard

2100 Second Street, SW
Washington, DC 20593-0001
Staff Symbol: G-WKS-4
Phone: (202) 267-6863
Fax: (202) 267-4355

COMDTNOTE 5100
26 NOV 2002

COMMANDANT NOTICE 5100

CANCELLED: 25 NOV 2003

Subj: CHANGE-8 TO SAFETY AND ENVIRONMENTAL HEALTH MANUAL, COMDTINST M5100.47

1. PURPOSE. This Notice publishes revisions to the Safety and Environmental Health Manual, COMDTINST M5100.47. Intended users of this directive are all units which maintain the manual.
2. ACTION. Area and district commanders, commanders of maintenance and logistics commands, commanding officers of headquarters units, and assistant commandants for directorates and special staff offices at Headquarters shall ensure compliance with the provisions of this Notice. Internet release authorized.
3. SUMMARY OF CHANGES. These changes incorporate the new E-Mishap System into the Manual, eliminates the requirement to report off duty class D mishaps, and modifies mishap classifications in order to allow the E-Mishap System to automatically calculate the appropriate mishap classification.
4. DISTRIBUTION. No paper distribution will be made of changes to this Manual. Official distribution will be made via Coast Guard Directives System CD-ROM and the Department of Transportation website at: <http://isdcdc.dot.gov/>. An updated electronic version of the entire Manual, changes, and announcement of ALCOASTs are available via the Commandant (G-WK) Publications and Directives website at: <http://www.uscg.mil/hq/G-W/g-wk/g-wkh/g-wkh-1/Pubs/Pubs.Direct.htm>. Message notification will announce changes and effective dates.

DISTRIBUTION – SDL No. 140

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A	3	2	2		2	2	2	2	1	1		1	2	2	2	1	1		1		3					
B		8	20	2	12	6		10	10	10	10	20	5	20	2	1	20	20	20	1	5	1	3	1	1	1
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NON-STANDARD DISTRIBUTION:

5. PROCEDURES. Remove and insert the following pages:

Remove

Chapter 3, CH-7

Encl (6), CH-5

Encl (9), CH-5

Encl (15)

Insert

Chapter 3, CH-8

Encl (6), CH-8

Encl (9), CH-8

Encl (15), CH-8

/s/

W. J. WILKINSON

Acting Director of Health and Safety

Encl: (1) CHANGE-8 to Safety and Environmental Health Manual, COMDTINST M5100.47

CHAPTER 3 MISHAP RESPONSE, INVESTIGATION AND REPORTING

- A. Scope. This chapter provides requirements and guidance for response, investigation and reporting of Coast Guard mishaps.
- B. Mishap Definition. Any unplanned, unexpected or undesirable event causing injury, occupational illness, death, or property damage/loss.
- C. Policy. All Coast Guard mishaps will be investigated and reported in accordance with the requirements of this chapter.
- D. Action. Use the Figure 3-1 flowchart located on page 3-2 of this Manual, together with the appropriate sections of this chapter, to determine whether a reportable mishap has occurred and to determine the appropriate unit response, investigation and reporting responsibilities. The Coast Guard's E-Mishap System, accessed at <http://cgweb.lant.uscg.mil/KDiv/kseMISREP/Default.asp>, is the preferred method of reporting. However, units without access to the online system or who wish to continue using message traffic may report via the message system.
- E. Pre-Mishap Planning. Each unit shall develop a pre-mishap plan to organize an effective unit response to mishaps, especially major mishaps. Although the plan does not need to be a separate unit instruction, it should be separate and distinct. One way of accomplishing this is inclusion as a portion of whatever method the unit uses to document required actions (e.g. Standing Orders, Standard Operating Procedures, and/or Operational Bills). Because of the limited resources and response capabilities of smaller units, Groups and Marine Safety Offices shall establish pre-mishap plans, which cover mishaps for units that report to them. A sample unit pre-mishap plan is provided in enclosure (15) to this Manual.
 - 1. Pre-mishap plans are the main planning tool for reducing the debilitating effects of a major mishap.
 - 2. To remain a viable tool, pre-mishap plans must be reviewed and exercised at least annually to ensure accuracy and unit familiarity.
 - 3. A good plan provides simple, easy to use checklists to ensure key personnel are knowledgeable concerning their duties following a mishap. Permanent Unit Mishap Analysis Board members, and their alternates, must be clearly identified in the pre-mishap plan. Their respective duties must be delineated prior to the mishap. Members should be identified by position or billet and not by name.
 - 4. Pre-mishap plans distribute tasks and resources for:
 - a. Notification of the chain of command.
 - b. Rescue and emergency medical care of personnel.
 - c. Minimizing injury and property damage, including secondary or subsequent mishaps.

Mishap Response Flow Chart

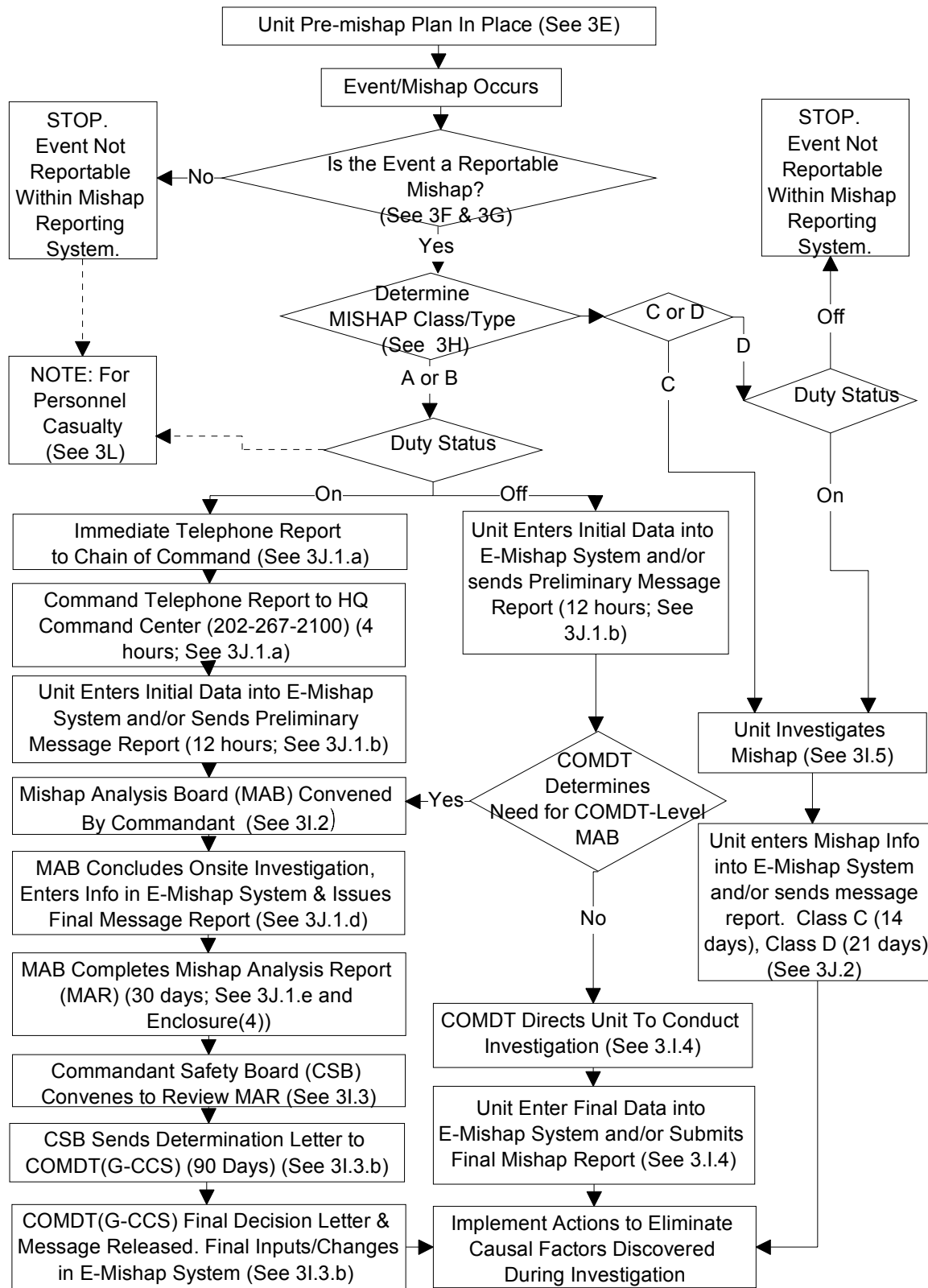


Figure 3 - 1

- d. Notification of next-of-kin (NOK), death-imminent process, media, etc.
 - e. Security of mishap site.
 - f. Preservation of wreckage to facilitate analysis of the mishap causes and eventual restoration of damaged property (e.g., photograph, fluid samples oil, fuel, etc., physical examinations as appropriate, etc.).
 - g. Prior arrangements and coordination with other military, government and civilian agencies to obtain the necessary fire-fighting, rescue and salvage equipment, security guards, divers, flight surgeons, medical facilities, logistics, photographers, etc.
 - h. Preliminary mishap investigation and analysis which includes activating the unit mishap board, interviewing witnesses and initiating critical physical examinations and fluid specimens. See Section 3-I of this Manual.
 - i. Unit Critical Incident Stress Management actions.
 - j. Safeguarding of electronic memory units. Commandant (G-SEA) and (G-WKS) will provide guidance on the correct routing, handling, downloading, and analysis of aircraft electronic memory units. This includes crash survivable memory units in flight data recorders (FDR), cockpit voice recorders (CVR), and nonvolatile memory (NVM) chips on circuit cards from electronic engine controls, programmable navigation equipment, and other avionics. As shipboard automated systems evolve, similar steps may be required of shipboard system memory units.
5. Not every circumstance at every unit can be anticipated. The guidance presented provides a framework which must be tailored and customized by each unit according to their own requirements, equipment, mission responsibilities, etc. Pre-mishap plans should incorporate the eventuality that the unit mishap board may be required at a site away from the home unit.
6. Audits of unit mishap plans have found five areas of pre-mishap planning that are generally weak and are highlighted below. These areas should be particularly reviewed and addressed in all pre-mishap plans.
- a. Telephone/Recall Lists. These lists should include names, home numbers and work numbers of spouses or next of kin. Mishaps often occurred during work hours and next of kin could not be located for many hours because work telephone numbers were not known. Verify and update at least annually. The pre-mishap plan should not actually include these lists—for privacy reasons—but should indicate where they may be located at the unit.
 - b. Incoming Telephone Calls. Commands have often experienced such a deluge of calls from other units, friends, media, senior commands, etc., that their ability to make outgoing calls was severely impacted.

Controlling this influx will be difficult and needs to be addressed in unit planning. A mechanism needs to be established to screen calls, eliminating press/interested parties posing as official Coast Guard callers.

- c. Next of Kin (NOK) Notifications. Commands should anticipate the need to make several notifications simultaneously and in a timely manner. Additionally, there are administrative requirements for death-imminent retirements or death notifications that have strict time limits. These need to be reviewed with administrative staff, parent commands and district/area support staff and should be noted in the plan. (See the Personnel Manual, COMDTINST M1000.6 (series), Chapter 11)
- d. Critical Incident Stress Debriefing (CISD). Units suffering serious loss may benefit from CISD. Additionally, members of a unit suffering serious loss may require extended counseling. These capabilities are available through the servicing ISC worklife staff. The telephone number of the ISC worklife employee assistance coordinator should be part of the pre-mishap plan. The Critical Incident Stress Management Commandant Instruction (COMDTINST 1754.3 (series)) highly encourages defusing or debriefing for those involved in serious mishaps or the loss of life, however, participation is not mandated.
- e. Establishment of Support Plans. Pre-establishing support plans with other emergency preparedness agencies--local police departments, fire departments, rescue and SWAT teams, other federal agencies, hospitals--and including these agencies in the annual exercise of the pre-mishap plan will make it much more effective.

F. Mishap Events. The following events constitute a reportable mishap:

- 1. Injury or Illnesses which result in any of the following: death, days away from work, restricted duty, transfer to another job, medical treatment beyond first aid, or loss of consciousness.
 - a. Coast Guard active duty military personnel injured, missing, or missing in action while on duty; active duty military personnel injured or missing while in an off-duty status if it results in days away from work, more than 30 days of restricted duty or transfer to another job.
 - b. Coast Guard civilian personnel injured, missing, or missing in action while performing Coast Guard work, on or off Coast Guard property. Any occupational injury or illness reported on a Form CA-1 or CA-2 to the Office of Workers' Compensation, Department of Labor, is a mishap that occurred while performing Coast Guard work and must be also reported via the Coast Guard mishap system.
 - c. Coast Guard Reserve personnel injured, missing, or missing in action, while in an active duty status. (Active Duty for Training--ADT-AD, IADT, ADT-OTD; Active Duty other than Training--ADSW-AC, ADSW-RC, Involuntary AD, Emergency Voluntary AD;

Drilling on Inactive Duty for Training (IDT); or on an Extended Active Duty (EAD) contract). Injuries to Coast Guard Reserve personnel in one of the above active duty statuses while off-duty would also be reported if they resulted in days away from Coast Guard work, restricted duty or transfer to another Coast Guard position.

- d. Coast Guard Auxiliary personnel injured, missing, or missing in action while under orders. See the Auxiliary Operations Policy Manual, COMDTINST M16798.3 (series).
- e. Coast Guard contractors injured while working on Coast Guard property, on Coast Guard equipment, or while conducting Coast Guard missions.
- f. Non-Coast Guard personnel and visitors injured or missing on Coast Guard property, including Coast Guard housing.
- g. Coast Guard military or civilian personnel who develop an illness that may reasonably be ascribed to an immediate (acute) or long term (chronic) exposure to chemical or physical agents in the workplace. For illnesses linked to chronic exposures, a mishap report shall be initiated upon first diagnosis. An example of such a “sentinel event” for an occupational illness is a permanent threshold shift seen on an audiogram. Work-related musculoskeletal disorders (MSD’s), occupational exposures to active tuberculosis (TB) that result in subsequent tuberculosis infections, and work-related needlestick injuries and cuts from sharp objects that are contaminated with another person's blood or other potentially infectious material should also be reported.
- h. Coast Guard Exchange System (CGES) personnel injured while performing Coast Guard work.

2. Property Damage.

- a. Damage to Coast Guard afloat or ashore facilities or aircraft.
- b. Damage to non-Coast Guard facilities as a result of Coast Guard operations.
- c. Personal property owned by Auxiliary units or Auxiliarists under orders that is damaged in the course of duty.

3. Other. To be reported regardless of whether injury, illness, or damage result.

- a. Accidental firearms discharge.
- b. Electrical Shocks
- c. Fires

4. Aviation-specific Reportable Events. Report as Class D Flight-Related incidents that may not meet the criteria of a reportable event (as listed above), but can be used as indicators of possible trends and can teach valuable lessons.

These events usually do not have costs associated with them and do not involve injury or illness. These lessons learned incidents make for "hangar flying" or "there I was..." topics and should be shared. They shall be reported to prevent similar events from becoming actual mishaps.

- a. Near Midair Collisions. Near midair collisions are extremely hazardous situations requiring special reporting procedures. Chapter 2 of this Manual and the Coast Guard Air Operations Manual, COMDTINST M3710.1 (series) provide specific reporting requirements for these events.
- b. Human Factor Event. A psychological, physiological, or pathological condition occurring to a crewmember when intent for flight exists and results in interference of a crewmember's duties. This includes flight delays, diverts or aborts due to conditions affecting a crewmember or passenger (airsick, vertigo, suspected or proven hypoxia, other toxic exposure, decompression events, preexisting illness, spatial disorientation, other in-flight incapacitation or injury).
- c. Special Operations. From time to time, headquarters will request that certain events be reported (e.g., use of the Traffic Collision Avoidance System (TCAS)).
- d. Precautionary or Forced Landing (Aborted Flights). Any landing required because conditions or circumstances make further flight inappropriate or impossible is a reportable event. This includes emergency or precautionary landings when imminent engine and/or rotor system failure is confirmed after landing. Precautionary landings without confirmed failure, malfunction, or damage (e.g. suspected blade strike, warning lights, bird-strike, etc.) and no additional damage occurs during landing are not reportable (no components are replaced). However, if additional circumstances surrounding the event can be of value to the fleet, the event should be reported. If the event does not result in replacement of the component, it is not reportable.
- e. The following events are reportable aviation mishaps and should be reported under the appropriate mishap class based on damage costs or injury:
 - (1) Power Loss. Any engine flameout, failure, substantial loss of power or required engine shutdown, regardless of successful restart. Unintentional engine shutdowns are reportable, regardless of restart.

NOTE: Intentional engine shutdowns (training, test flight, etc.) are not reportable, unless the engine fails to restart or other circumstances surrounding the event can be of value to the fleet.

- (2) Propeller, Rotor or Engine Wash. Damage or injury resulting from propeller backwash, rotor down wash, or engine exhaust is reportable.

- f. Weather Related Mishaps. Events caused by natural phenomena such as turbulence, lighting, sea state, floods or surges, restricted visibility, or static discharge, etc.
- g. Jettison of a sling load or other external stores (intentional or unintentional) resulting in damage or injury.
- h. Unplanned or inadvertent equipment drops resulting in injury or property damage.
- i. Impact Damage. Damage or injury resulting from striking or being stuck by foreign objects.
- j. Emergency breakaway during replenishment, helicopter-in-flight-refueling (HIFR), refueling at sea.
- k. TFOA (Things Falling Off Aircraft). Damage or injury caused by any object unintentionally dropped or falling from an aircraft shall be reported regardless of amount of damage or severity of injury.
- l. Aborted Takeoffs: An event that occurs before takeoff and interrupts a planned flight (e.g., vibrations, warning lights, noises or fumes, etc.).
- m. Other Occurrences. Any event not specifically listed above where a definite mishap potential or trend exists and the Coast Guard Aviation Safety Program could benefit from the report. These may not have resulted in property damage or injury, but there is benefit from the lessons learned. Examples include: use of emergency procedures, use of nonstandard procedures, excellent displays of CRM, a significant failure of crew coordination, mishandling of Coast Guard equipment, or problems with aviation life support equipment.

NOTE: Reporting events involving positive action by the crew, good CRM or where crew actions avoided a more catastrophic outcome is encouraged. Incidents compounded by a breakdown in CRM or no CRM should also be reported.

- n. Contractor Mishaps. Investigate and report all contractor mishaps resulting in reportable Coast Guard aviation damage or that can be of value to the Aviation Safety Program.
5. Afloat-specific Events. Report events that may not always meet the criteria of a reportable event, as per 3.F.1-3, but can be used as indicators of possible equipment/training trends and or can teach valuable lessons. These events usually do not have costs associated with them and may not involve injury or illness. They shall be reported to prevent similar events from becoming actual mishaps.
- a. Falls overboard from vessels or supporting equipment and facilities.
 - b. Vessel Rollovers and Knockdowns (in excess of 90 degrees from an even keel)

- c. Any event which may identify possible deficiencies in current operational policy or procedures; allowances, outfits, or personal protective equipment; or platform configuration or performance.
- 6. Near Misses/High Potential (HIPO) Events. Near mishaps, lessons learned events or other events with a High Potential (HIPO) for injury, damage or Coast Guard-wide implications are reportable even though they result in MINIMAL or NO DAMAGE, do not result in PERSONNEL INJURY, or would otherwise not be reportable in the mishap reporting system, i.e. improper maintenance.
- G. Non-Reportable Mishap Events. The following events are non-reportable as mishap events and do not fall under the requirements of this Manual:
 - 1. Minor Off-duty Injuries. Injuries to military members which occur off duty and do not result in either 1) days away from work; 2) more than 30 days of restricted duty or 3) transfer to another job.
 - 2. Non-Occupational Illnesses. Illnesses which cannot be associated with an occupational exposure.
 - 3. Intentional Acts of Violence. Suicide, homicide or other malicious and intentional acts of violence that result in physical harm or property damage (e.g. bar fights, muggings, etc.).
 - 4. Intentional Damage or Injury. Intentional damage or injury caused by hostile action, malicious acts of sabotage or arson, law enforcement action ordered by competent authority, intentional damage or destruction for R&D purposes.
 - 5. Conditionally Predicated Damage. Damage which cannot be reasonably prevented (e.g. damage from storms, range or forest fires, floods, or seismic events).
 - 6. Normal Wear and Tear of Equipment. Damage, malfunctions or failures of equipment or components due to normal wear and tear, if it has a fixed useful life less than the complete system. These items are subject to periodic inspections, maintenance and replacement, and are **NOT** reported as mishaps.

NOTE: This applies only if the malfunction or failure is the **ONLY** damage and the sole corrective action is to replace or repair the component. If the malfunction or failure of a component causes collateral damage to other components, the incident is reportable. Design defects, poor workmanship, incorrect use of materials and improper installation are not considered normal wear and tear.

- 7. Normal Testing and Calibration. Damage or failure of equipment or components due to their normal testing and calibration.
- 8. Coast Guard Flying Club. Mishaps involving CG flying club aircraft are not reportable as an aviation mishap, however, if there is injury or death the event should be reported as an off-duty mishap.
- 9. Bird Strikes With No Damage. Bird strikes without aircraft damage or personnel injury (even if a precautionary landing is made) are not reportable

unless additional circumstances surrounding the event would be of value to the fleet.

10. Planned Controlled Jettison. Intentional jettison or release during flight of cargo, fuel, life rafts, auxiliary fuel tanks, drag chutes or external equipment when there is NO reportable damage to the aircraft or other property or injury. This does not apply if the jettison was the result of a malfunction. A good test of this exception is to question the intent of the aircrew. If the load was not meant to depart the aircraft, it is a reportable mishap. However, if the jettison is intentional but other aspects of the event can be of value to the community, it should be reported.
11. False Indications. False Alarms (precautionary landings, engine, propeller or rotorhead shutdowns) determined to be the result of erroneous indicators (e.g., chip light, warning light, etc.) are not reportable UNLESS it results in repair or replacement of a component.

H. Mishap Classifications. Mishaps are classified according to severity level (class) and operational mode (type).

1. Mishap Class (severity). Mishaps are divided into four classifications according to severity of injury or cost of property damage/loss. Class A and B mishaps are the most serious or costly and usually warrant a formal Commandant appointed Mishap Analysis Board (MAB). To determine costs, see enclosure (13) to this Manual.
 - a. Class A--Mishaps in which:
 - (1) An injury or occupational illness results in a fatality or permanent total disability.
 - (2) The cost of reportable property damage is \$1,000,000 or greater.
 - (3) A Coast Guard aircraft or cutter is missing or abandoned, for which recovery is impossible or impractical, or is beyond economical repair.
 - (4) A Coast Guard small boat has reportable property value of \$50,000 or more and
 - (a) is missing or abandoned;
 - (b) for which recovery is impossible or impractical;
 - (c) or is beyond economical repair.
 - (5) A midair collision, regardless of the severity of injury or amount of damage.
 - (6) Any Coast Guard personnel are missing or missing in action.
 - b. Class B--Mishaps in which:
 - (1) Any injury and/or occupational illness results in permanent partial disability.

- (2) The resulting cost of reportable property damage, or damage to cutters and aircraft, is \$200,000 or more, but less than \$1,000,000.
 - (3) Three or more personnel are inpatient hospitalized.
 - (4) Coast Guard small boats incur repairable damage of \$50,000 or more.
- c. Class C--Mishaps in which:
- (1) An injury or occupational illness results in 1) any loss of time from work beyond the day or shift on which it occurred; 2) placement of any individuals on limited duty or restricted status for more than 30 consecutive days; or 3) transfer of any individuals to a different job.
 - (2) The resulting cost of reportable property damage, or damage to cutters and aircraft, is \$20,000 or more, but less than \$200,000.
 - (3) Coast Guard small boats incur repairable damage of \$20,000 or more, but less than \$50,000.
 - (3) A person falls overboard accidentally from a vessel or a pier or other structure or equipment associated with Coast Guard operations.
 - (4) A grounding, capsizing, or rollover/knockdown occurs which is greater than 90 degrees from an even keel.
- d. Class D--Mishaps in which:
- (1) An occupational injury or occupational illness occurs requiring more than simple first aid treatment but that does not meet the criteria of a Class C mishap.. This includes events where individuals are placed on limited duty status or restricted duty for less than 30 consecutive days.
 - (2) The cost of property damage for non-aviation mishaps is \$1,000 or more but less than \$20,000.
 - (3) The cost of property damage for aviation mishaps is less than \$20,000.
 - (4) An accidental firearm discharge, electrical shock, or fire occurs that does not meet the criteria of a higher classification.
 - (5) A near midair collision (NMAC) occurs. Report as a Flight-Related Class D mishap. See section 3.F.4.a and Chapter 2 of this Manual for additional NMAC reporting requirements.
 - (6) There is a Near Miss/High Potential (HIPO) Event. Near mishaps, lessons learned events or other events with a High Potential (HIPO) for injury, damage or Coast Guard wide implications are reportable as Class D mishaps, even though

they result in MINIMAL or NO DAMAGE OR PERSONNEL INJURY.

- (7) An Aviation Reportable Mishap occurs as described in section 3.F.4. Report these as a Flight Related Class D mishap.
- e. Aviation Class E--Aviation mishaps which involve engine damage only, regardless of the damage cost. If the damage is not contained or not limited to the engine (e.g., airframe, props, rotors, non-airframe damage or injury), the mishap will be reported and investigated according to the appropriate mishap Class. (Class E mishaps can be Flight, Flight-Related or Ground.) Class E incidents also include Foreign Object Debris (FOD) Damage Incidents.

NOTE: Foreign Object Debris (FOD) Damage. Foreign Object Debris (FOD) damage confined to the engine or limited to internal components (does not include cowling) are reported as a Class E mishap. If engine parts are not contained, exit the engine and cause other damage, then report as the appropriate mishap Class based on severity of the mishap.

NOTE: FOD mishaps where the engine is the only damage do not normally require a formal mishap investigation and are reported as a Class E mishap. Commandant (G-WKS) may deem it necessary to convene a Mishap Analysis Board if other circumstances dictate.

- 2. Injury Severity Definitions. For the purposes of mishap reporting (unrelated to Physical Disability Evaluation Processing (PDES)), the following definitions apply:
 - a. Permanent Total Disability. Any non-fatal injury or occupational illness that in the opinion of competent medical authority, permanently and totally incapacitates persons to the extent that they cannot follow any gainful occupation.

NOTE: The loss of use of both hands, both feet, both eyes, or a combination of any of these body parts as a result of a single mishap, shall be considered as a permanent total disability. Occupationally linked chronic irreversible diseases shall also be considered as a permanent total disability.

- b. Permanent Partial Disability. An injury or occupational illness that does not result in death or permanent total disability, but that in the opinion of competent medical authority, results in permanent impairment.

NOTE: The loss or loss of use of any body part other than teeth, nails, and tips of digits shall normally be considered a permanent partial disability unless specifically determined to be otherwise by competent medical authority. Occupationally linked cancers--other than non-malignant skin cancers--shall also be considered as a permanent partial disability.

- c. Simple First Aid Treatment. First aid which a person, who may or may not be a health care professional, can provide. It is defined as

using a non-prescription medication at nonprescription strength; administering tetanus immunizations (other immunizations, such as Hepatitis B vaccine or rabies vaccine, are considered medical treatment beyond first aid); cleaning, flushing or soaking wounds on the surface of the skin; using wound coverings such as bandages, Band-Aids™, gauze pads, etc.; or using butterfly bandages or Steri-Strips™; using hot or cold therapy; using any non-rigid means of support, such as elastic bandages, wraps, non-rigid back belts, etc.; using temporary immobilization devices while transporting an accident victim (e.g., splints, slings, neck collars, back boards, etc.); drilling of a fingernail or toenail to relieve pressure; draining fluid from a blister; using eye patches; removing foreign bodies from the eye using only irrigation or a cotton swab; removing splinters or foreign material from areas other than the eye by irrigation, tweezers, cotton swabs or other simple means; using massages (physical therapy or chiropractic treatment are considered medical treatment beyond first aid); or drinking fluids for relief of heat stress.

3. Aviation Mishap Types. Aviation-specific mishaps are divided into four types; intent for flight is used to differentiate among the mishap types. Intent for flight exists when an engine is started for the purpose of flight and continues until the aircraft comes to rest with the engine(s), propeller(s), or rotor(s) stopped and brakes set or wheel chocks in place. An aircraft's engines are considered started or running the instant any one of them is set into motion intentionally, either by internal or external power. In the case of an amphibian aircraft (Auxiliary only) landing on water, intent for flight ceases when the aircraft has made a water landing, the engine(s), propeller(s) or rotor(s) have stopped, and the aircraft has been anchored, moored, taken in tow, or otherwise comes to rest (adrift).
 - a. **Flight Mishap**. Mishaps involving Coast Guard aircraft damage/loss with or without other property damage, personnel injury/death, or occupational illness, where intent for flight existed at the time of the mishap.
 - b. **Flight-Related Mishap**. Mishaps in which there is NO Coast Guard aircraft damage. Intent for flight must have existed at the time of the mishap, and other property damage, death, injury or occupational illness has occurred. (Includes near midair collisions, non-aircraft damage caused by rotor wash, and other reportable events with NO reportable Coast Guard aircraft damage.)
 - c. **Aviation Ground Mishap**. Mishaps involving damage to Coast Guard aircraft/aviation equipment or where death, injury, or occupational illness occurred where NO intent for flight existed (e.g., towing, maintenance, run-ups, servicing, etc.). Ground mishaps imply no intent for flight and include maintenance or handling mishaps of aviation assets while deployed aboard vessels.

- d. CG Auxiliary Aviation Mishaps. Damage to auxiliary aircraft or the death, injury, or occupational illness to personnel while operating auxiliary aircraft, while under official orders shall be reported as per the Auxiliary Operations Policy Manual, COMDTINST M16798.3 (series).

NOTE: Flight, Flight-related, and CG Auxiliary Aviation mishaps which do not have any personnel injuries or occupational illnesses associated with them will NOT be reported via the E-Mishap system. However, all aviation related mishaps that involve personnel injuries, occupational illness or death, regardless of operational mode, must be reported via the E-Mishap System.

I. Mishap Investigation Boards.

1. Permanent Unit Mishap Board. Each unit shall assign a Permanent Unit Mishap Board. Members of the board, as appointed in the Pre-Mishap Plan (see enclosure (15) to this Manual), must be familiar with safety procedures and requirements of this Manual, relevant directives, and preliminary mishap analysis procedures before a mishap occurs. The Unit Mishap Board should also be familiar with the Coast Guard Administrative Investigation Manual (AIM), as well as manuals that apply to decedent affairs and other U. S. Coast Guard investigations that may be required as a result of the incident. The Unit Permanent Mishap Board should be familiar with what type of mishap information can be shared with other investigations (see enclosure (10) of this Manual). While the Unit Mishap Board would conduct or coordinate the investigation for minor mishaps (C & D), actions after a major mishap (A & B) should be limited to:
 - a. Securing and protecting the mishap site and wreckage until the arrival of the Commandant's Mishap Analysis Board (MAB).
 - b. Documenting the mishap site and wreckage by written, taped, videotaped and photographed documentation of the wreckage, location of survivors and fatalities and the mishap site. This is especially important if wreckage and bodies must be disturbed before the MAB can arrive.
 - c. Photographing and videotaping to preserve otherwise perishable evidence and aid the investigation.
 - d. Collecting Human Factors Evidence. Take blood and fluid samples of survivors, documenting evidence of mental and physical capability and medical opinion about individuals' ability to return to their duties. See Enclosure (4) for more guidance.
 - e. Safeguarding Electronically Stored Data. Immediately safeguard "continuously recorded" memory units. This can be accomplished by assuring power is not applied to the aircraft or memory unit or by removal of the unit. Failure to do so can result in the overwriting and loss of valuable mishap data. This includes crash survivable memory units in flight data recorders (FDR), electronic cockpit voice recorders

- (CVRs), and nonvolatile memory (NVM) chips on circuit cards from electronic engine controls, programmable navigation equipment, and other avionics. Contact Commandant (G-WKS) and (G-SEA) for guidance.
- f. Witness Statements. Physical and documentary information is usually the most credible form of information, but witness accounts often provide important leads. Witnesses include those involved in the mishap, those who saw it, and those whose training and experience qualify them as experts. See enclosure (2) and (4) to this Manual for guidance on the collection of witness statements.
 - g. Collecting and securing aircraft, boat crew training and administrative records and files.
2. Class A or B Commandant Mishap Analysis Board (MAB). MAB's will be appointed and convened at the discretion of Commandant (G-WKS) to investigate and report on Class A & B Mishaps. Enclosure (4) to this manual describes the Class A and Class B MAB composition and process. In cases where a Commandant level review of command policies, training procedures or equipment deficiencies are not anticipated, Commandant (G-WKS) may delegate this responsibility. In these cases, Commandant (G-WKS) will specify the scope and requirements of any unit investigations. These boards vary in composition according to the circumstances of the mishap. (G-CCS) may designate additional attendees as deemed necessary.
 3. Commandant's Safety Board (CSB). Once the Mishap Analysis Report (MAR) from a Commandant-convened MAB (see 3.J.1.e) reaches Headquarters, a CSB shall be convened.
 - a. The CSB shall review the MAB report and endorsing comments and develop a report for Commandant (G-CCS). This report shall include:
 - (1) A synopsis of the mishap
 - (2) Classification and cost of the mishap
 - (3) Determination of the causal factors
 - (4) Determination of additional findings
 - (5) Determination of recommended corrective actions
 - (6) Other remarks as appropriate
 - (7) Information for the final update of the Coast Guard Mishap Reporting and Data System
 - (8) Development of a draft Commandant (G-CCS) Decision Letter and Final Action Message
 - b. Within 90 days of receipt of the MAB report and comments, the CSB shall forward the CSB report and draft Final Decision Letter to Commandant (G-CCS) for consideration. After review, Commandant (G-CCS) will issue a Final Decision Letter directing the corrective

actions to be taken. The CSB will also be responsible for any updates to the E-mishap system.

- c. Upon approval of the Final Decision Letter, Commandant (G-CCS) will notify the Commandant prior to releasing the investigative results. As warranted, the Commandant will be briefed in the following types of mishaps:

- On-Duty Fatality or Permanent Partial Disability
- Loss of Coast Guard Asset
- Extensive Non-Coast Guard Property Damage or Personal Injury

Attendance at this brief, which will be determined by (G-CCS), will vary by mishap type and may include (G-CV), (G-I), (G-L), (G-WK), the applicable Assistant Commandant(s) responsible for unit/program involved, and the Area/District Commander.

- (1) The purpose of this brief, which normally will be given by the President of the appropriate CSB within two weeks following approval of the Final Decision Letter, is to ensure appropriate staff elements are aware of the pending release of the findings and that required staff actions have been initiated. Likely staff actions could include preparation of a press release and draft media guidance (G-IPA), scheduling the notification of members or next of kin (Area or District Commander), development of Congressional outreach strategy (G-ICA), and preparation of a draft Secretary Alert (CGHQ 3517E) (G-WKS).
- (2) Attendees shall bring drafts of any correspondence, notifications, or press releases that are anticipated to the brief. Commandant (G-WKS) will provide each attendee a copy of the approved Final Decision Letter and draft Final Action Message. After all required staff actions have been completed, Commandant (G-CCS) will release the Final Action Message.

4. Class A or B Off-Duty Mishap Boards. MAB's will be appointed and convened at the discretion of Commandant (G-WKS) to investigate and report on Class A and B off-duty mishaps. In most cases, mishaps involving off-duty Coast Guard military personnel will be investigated by the member's permanent command and the results will be reported via the E-Mishap submission (see 3.J.2), although Commandant (G-WKS) may also require a formal MAR. This includes off-duty motor vehicle mishaps, sports, hobbies or permissible outside employment activities. The mishap report shall include the results of any outside (non U. S. Coast Guard) investigations. Local law enforcement investigation report and related documents should be a major source of information. If the mishap occurs far from a member's permanent command, the permanent command may request via G-WKS that a command local to the incident conduct the investigation.

5. Class C and Class D Unit Mishap Boards. Unit Mishap Boards shall generally conduct local investigations for Class C and D mishaps and the results of the investigation shall be entered into the E-Mishap System (see 3.J.2 b and c). For high interest Class C, D or HIPO mishaps, a Commandant (G-WKS) MAB may be assigned to investigate the mishap or the unit may be tasked to complete and submit a formal MAR. Enclosure (4) to this Manual provides information on the makeup of Class C and D Unit Mishap Boards.
6. Joint Mishap Boards. In the event of a mishap involving the Coast Guard and other United States military aircraft or property, a joint board may be convened, if considered appropriate by both Commandant (G-WKS) and the Safety Chiefs of the service safety centers. Each service shall be represented on the Joint Mishap Board. The appointment of the MAB President, selection of board members and the report format, shall be by mutual agreement between Commandant (G-WKS) and the chief of the safety center involved.
7. Auxiliary Aviation/NTSB Boards. The NTSB will investigate auxiliary Class A and B aviation mishaps. A Coast Guard representative (active duty and/or auxiliary) will be assigned to such investigations. Commandant (G-WKS-1) will determine if a separate Commandant's MAB is to be convened. Immediate initial reports to Commandant (G-OFP) and (G-WKS) are required to ensure timely NTSB notification.

J. Mishap Reporting.

1. Class A and Class B Mishaps.
 - a. Immediate telephone report. (Not required for off-duty Class A or B mishaps.) Unit commanding officers or officers-in-charge shall immediately report all Class A and Class B to their Chain of Command. Within four hours of a Class A or B mishap, a telephone report, by the Command, shall be made to the Coast Guard Headquarters Command Center (G-OPF), 202-267-2100. This initial report shall include as much information as is available and should include location, time, and injury to personnel and or damage to Coast Guard property. See Section 3.J.2.a below for additional immediate telephone reporting requirements.
 - b. Preliminary Message Report. Within 12 hours of a Class A or Class B Mishap, a priority message report shall be sent to Commandant (G-WKS), MLCLANT (kse), MLCPAC (kse), the Area and the operational commanders, by the unit experiencing the mishap. The 12-hour delay is designed to allow for immediate rescue/recovery actions and for the collection of more detailed information. When the information has been entered into the E-Mishap online system, it can be used to generate the text for the message report. This text can be copied over to CGMS for transmittal. In the event that a unit is not able to connect to the intranet, i.e. a cutter underway, or does not

desire to use the E-Mishap System, the appropriate standard mishap format of Enclosure (6) should be used to send a message.

NOTE. For aviation Flight and Flight-related mishaps which involve equipment damage only, do NOT use the E-Mishap System but instead submit a message following the format specified in Enclosure (5) to this Manual with AIG 8907 as an info addressee.

- (1) The initial input into the E-Mishap System and preliminary message shall amplify and expand on the data provided during the immediate telephone report regarding location, time, and injury to personnel and/or damage to property.
 - (2) The initial input and preliminary message shall contain factual information only. It shall not contain information based on witness statements or other testimonies. If some of the required information is unavailable or incomplete, subsequent updates to the E-Mishap System and/or supplemental messages shall be sent when such information is available.
 - (3) Although the E-Mishap System will collect names to meet OSHA reporting requirements and for analysis, the message generated for CGMS will not list the names or any other personal information such as social security numbers of members involved in the mishap. Message submissions made without use of the E-Mishap Systems shall not include names or SSN's.
 - (4) If there are serious injuries, personnel missing or deaths involved, personnel data must be reported in a Personnel Casualty Report within four hours. (See Section 3.L of this chapter.)
- c. Progress/Supplemental Message Report. An update to the E-Mishap System shall be made within 72 hours. In the event that a unit is not able to connect to the intranet, i.e. a cutter underway, or does not desire to use the E-Mishap System, the appropriate standard mishap format of Enclosure (6) should be used to send a message to Commandant (G-WKS) and appropriate headquarters offices within this time frame. If an MAB has convened, then the MAB President shall send this message. Supplemental E-Mishap inputs and messages shall be sent thereafter at the MAB President's discretion or as directed by Commandant (G-WKS).

NOTE: For aviation Flight and Flight-related mishaps not involving personnel injury, death, or occupational illness, either the format in enclosure (5) to this Manual or the optional MAB progress message format in enclosure (14) to this Manual should be used.

- (1) The MAB President shall send an arrival message notifying headquarters that all MAB members have arrived and that the

MAB has assumed the investigation. This information may be included as part of any Progress/Supplemental messages.

- (2) The MAB President shall update the E-Mishap System and send appropriate messages at a minimum when critical information is discovered, when the MAB adjourns, and if it reconvenes.

NOTE: If the MAB discovers information that seriously impacts Coast Guard operations, the MAB President shall immediately notify Commandant (G-WKS) by telephone. E-Mishap System update(s) and supplemental message(s) shall be sent, regardless of whether the information is associated with the mishap under investigation. Commandant (G-WKS) will notify the appropriate Coast Guard Headquarters offices and other agencies and ensure that proper action is taken.

- d. Final MAB Message. A final MAB message shall be sent when the MAB concludes the on site investigation and analysis. The E-Mishaps system should be updated, used to format the final message, and the text generated should be used as the draft within CGMS. Because the final MAB process is not complete at this point, Commandant (G-WKS) shall be the releasing authority for the message. The President of the MAB shall confer with and receive Commandant (G-WKS) permission prior to release. The final E-Mishap input and message report shall contain:

- (1) A short factual synopsis of the event.
- (2) Date the MAB adjourned.
- (3) Description of damage.
- (4) Disposition of wreckage and/or status of salvage operations.
- (5) Specific recommendations the MAB feels should be brought to the immediate attention of field commands.
- (6) The message shall not contain opinions or speculation regarding the mishap.
- (7) Upon receipt of the final MAB Message, Commandant (G-WKS) shall notify the reviewing chain of endorsement of the deadlines contained in this Manual and offer MAB briefings to expedite the reviewing process.

- e. Commandant Mishap Analysis Report (MAR). In addition to E-Mishap entries and messages, every Commandant appointed MAB should produce a MAR. Enclosure (2) to this Manual provides a description and format for the MAR. Enclosure (3) to this Manual provides a description and format for the Medical Officer's Report, which should be made part of the MAR when applicable.

- (1) Within 21 days after the MAB completes their on-site investigation and analysis, the MAB President shall forward

the original MAR. The original MAR shall be forwarded to Commandant (G-WKS) via the commanding officer and appropriate chain of command for review and endorsement.

- (2) Commandant (G-WKS) shall inform the endorsement chain of endorsing deadlines and the importance of timely review.
- (3) When desired, Commandant (G-WKS) shall provide funding for member(s) of the MAB to brief endorsers, to assist in understanding the incident and to streamline the review process.
- (4) Because mishap reports contain sensitive and privileged material, it is imperative that copies of the MAR be controlled. Therefore, only a limited number of copies and copyholders are authorized. See enclosure (2) to this Manual for specifics. The MAB President is the only MAB member authorized to keep a copy of the MAR. Reviewers in the chain are not authorized to hold a copy, and shall not be provided or reproduce a copy, unless requested of and authorized by Commandant (G-WKS). The MAB president will return his MAR copy to Commandant (G-WKS) after the Final Action Message is released.

2. All Mishaps.

- a. Immediate telephone reporting. In addition to Class A and B mishaps the following incidents require an immediate telephone report to Coast Guard Headquarters:
 - (1) All Coast Guard mishaps likely to cause intense or unusual reaction from the public or news media.
 - (2) All Coast Guard mishaps requiring notification of the NTSB.
 - (3) A Coast Guard auxiliary aircraft involved in a Class A or Class B mishap while operating under written or verbal orders.
 - (4) A Coast Guard aircraft is involved in a mishap with a foreign aircraft, or a mishap occurring in a foreign country.
 - (5) Serious Near Midair Collision as discussed in chapter 2.
 - (6) Whenever deemed appropriate by the Commanding Officer or operational commander.
 - (7) Personal Casualty as discussed in Section 3.L of this chapter.
- b. Aviation-specific Mishaps. Flight and Flight Related mishaps in which there are no deaths, injuries, or occupational illnesses, and which do not require a formal MAR shall be reported by message following the format in Enclosure (5) to this Manual. NO E-Mishap System entries should be made. Class C Aviation messages shall be submitted within 14 days; Class D and Class E Aviation messages shall be submitted within 21 days.

- c. All other mishaps will be initially entered into the E-Mishap System or reported by message (including Aviation Ground mishaps). Class C mishaps must be entered within 14 days and Class D mishaps within 21 days.
- d. Operational mishaps shall be shared within the appropriate operational community; the message format generated by the E-Mishap System shall be used to generate a message that will also be transmitted within the applicable time frames. If a unit is not able to connect to the intranet within the submission period or specifically desires to use message traffic, then a message report using the appropriate format of Enclosure (6) shall be submitted within the applicable time frames.
- e. Although the E-Mishap System will collect names to meet OSHA reporting requirements and for analysis, the message generated for CGMS will not list the names or any other personal information such as social security numbers of members involved in the mishap. Message submissions made without use of the E-Mishap Systems shall not include names or SSN's.

NOTE: Class D mishaps for military members off-duty—no loss time from work; less than 30 days restricted or fit for light duty status; no transfers to a new job--are NOT reportable

- 3. Annual Reports. Commandant (G-WKS) will produce and publish annual safety awareness reports. These will be distributed to appropriate field commands and will include summaries and analysis of applicable mishap data. Real-time mishap data and reports will be available via the online E-Mishap System.
- K. Limitations on the Use and Disclosure of Mishap Investigations and Reports. A thorough understanding of the concept of privilege and confidentiality as used in the Safety Program is essential for the proper investigation of mishaps. Enclosure (10) to this Manual discusses the use and restrictions of safety privilege. If the causal factors and the sequence of events that culminated in a mishap are to be determined and similar mishaps prevented, it is imperative that all parties involved either in the mishap or the administrative/legal investigation and mishap review process understand and honor the privileged nature of the information. These concepts are critical to the success of the Coast Guard Safety Program. The statements, material, and information obtained during a mishap investigation are for the sole purpose of mishap prevention and must be handled according to the provisions of this instruction.
- L. Personnel Casualty Reporting. Personnel Casualty Reporting is required in addition to Mishap Reporting when the casualty is the result of a mishap or may be a stand-alone requirement in a non-mishap personnel event. It is not within the scope of this chapter to address Personnel Casualty Reporting in detail.
- 1. Immediate telephone notifications to the chain of command are required for Class A and B on-duty mishaps. A Preliminary Mishap Message Report,

regardless of whether it is generated by the E-Mishap System or not, is required within 12 hours for both on and off-duty Class A and B mishaps. See sections 3.J.1.a and 3.J.1.b of this chapter.

2. Immediate telephone notification to HQ Command Center (202) 267-2100 is required for death or death imminent situations. In addition, a Personnel Casualty Report Message is required within four hours of receiving personnel casualty information whether the result of a mishap or other causes, on or off duty. Procedures, message instructions, and format reside in the Personnel and Pay Procedures Manual, HRSICINST M1000.2, Section 5.A and enclosure (7) and in the Personnel Manual, COMDTINST M1000.6 (series), Chapter 11, Section A.
3. Though some message information may overlap, sufficient information will be provided on the mishap and on the member's personal data, ensuring a wide distribution of mishap information, yet protecting the member's privacy.
4. An Administrative Investigation may also be required in a personnel casualty case whether or not the result of a mishap. Contact Commandant (G-OPF) for additional information and see the Administrative Investigations Manual, COMDTINST M5830.1 (series), Section G.4.

Additional Cause Information:

Corrective Actions Taken/Lessons Learned:

Medical Injuries:

Name: _____ Age: _____ Grade: _____ Rate: _____

Status:

On Duty Coast Guard (Act Duty)	On Duty CG Reserve	On Duty DOD	Contractor	NAFA
Off Duty Coast Guard (Act Duty)	On Duty Civilian	Off Duty DOD	Visitor	Auxiliary

Part of Body Injured:

Arm	Foot	Head	Lung	Neck	Trunk
Eyes	Hand	Legs	Middle/Inner Ear	Other Internal	

Nature of Injury:**Severity:**

Abrasions/Cuts/Punctures	Fractures/Dislocation	Fatal
Biological Exposure	Irritation	Full Disability
Bruise/Sprain/Strain/Tear	Occupational Illness	Partial Disability
Chemical Exposure	Radiation Exposure	None of the above
Concussion/Loss of Consciousness	Thermal Exposure (Includes Hot & Cold)	
Electrical Exposure		

Type of Personal Protective Equipment used:

	Req.	Used		Req.	Used		Req.	Used
Ear			Foot			PFD		
Eye			Hand			Respirator		
Fall Protection			Head			Seat Belt		
						Description of Other:		

Days Hospitalized		Lost Work Days (NFFD/SIQ)		Days Restricted (FFLD)	
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Were any days of sea/boat/flight duty missed? Yes	No	(Civilians Only) Worker Comp Filed? Yes	No
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Property Damage:

Coast Guard Property Damage	
Government Property General	
Government Property Specific	
Operational Days Lost	
Cost of CG Owned Parts/Materials	
No. of CG man hours to repair damage	

Non-Coast Guard Property Damage Due to CG Operations	
Description	
Cost of Repairs	

Coast Guard Auxiliary Facilities / Equipment	
Description:	
Cost of Repairs:	

First Level Review

Comments:

Name: _____

Phone: _____

Command Review (By Direction Authority)

Comments:

Name: _____

Phone: _____

Table 1: Mission

ATON	Shore and Radio Navigation Aids
C&S	Command and/or Support
DO	Defense Operations
ELT	Enforcement of Laws and Treaties
IO	Ice Operations
M+R	Maintenance and Repair
MER	Marine Environmental Response
MI	Marine Inspection
OTHER	Other Not Listed
PERS	Off Duty/Off-The-Job
PSS	Port Safety and Security
SAR	Search and Rescue
TRG	Training

Table 2: Boat Types

ANB	ATON Boat (ANB - 55', 63' & 64')
ANB(X)	ATON Boat Misc. (34' and 38')
ASB	Arctic Survey Boat (38')
ATB	Aviation Training Boat (41' UTB)
BU	Buoy Boat (45')
BUSL	Buoy Boat, Stern Loader (49')
CB-S	Cutter Based: 14-15'
CB-M	Cutter Based: 17-18'
CB-L	Cutter Based: 19'-22'
CB-OTH	Cutter Based: Over the Horizon (24' Zodiac)
CT (All Types)	Cadet Training Boat
DPB	Deployable Pursuit Boat (38' or 42')
IMARV	Independent Maritime response Boat (50' Or 55')
LCVP	Landing Craft
MCB	Motor Cargo Boat (25')
MSB	Motor Surf Boat (26')
MLB-44	Motor Life Boat (44')
MLB-47	Motor Life Boat (47')
PWB	MSO Port & Waterways Boat (21" – 38', all brands)
RB-HS	Response Boat, Homeland Security
RB-S	Response Boat, Small
SKF	Skiff: Immediate vicinity maintenance & response
SPC	Special Purpose Craft (General)
SPC (Airboat)	Special Purpose Craft (Airboat)
SPC (Cable)	Special Purpose Craft (Cable Boat)
SPC (Ferry)	Special Purpose Craft (Ferry)
SPC (LE)	Special Purpose Craft (Law Enforcement)
SPC (HWX)	Special Purpose Craft: Heavy Weather (52' MLB)
SPC (SURF)	Special Purpose Craft: Surf (30' SRB)
TANB	Trailerable ATON Boat (21')
TPSB	Transportable Port Security Boat (PSU)
UTL	Utility Boat, Light (17' – 28'11")
UTB	Utility Boat, Big (41')
UTM	Utility Boat, Medium (25'-40'11" and is STA(sm) Primary Response vsl)

Use the following format for the message:

FM (UNIT NAME)
TO COMMANDANT (G-WKS)
 COMCOGARD MLC LANT NORFOLK VA//KSE//
 COMCOGARD MLC PAC ALAMEDA CA//KSE//

AIG FOUR NINE THREE FOUR (FOR SMALL BOAT OPERATIONAL MISHAPS)
 AIG FOUR NINE TWO THREE (FOR CUTTER/CUTTER SMALL BOAT OPERATIONAL MISHAPS)
 AIG EIGHT NINE SEVEN FOUR (FOR SHORE UNIT OPERATIONAL MISHAPS)
 (AIG's to be used only for operational mishaps)

INFO OPERATIONAL CHAIN

BT

UNCLAS FOUO//N05100//

SUBJ: CLASS (A, B, C, D or D - HIPO) MISHAP (Unit or Boat Type) – NRN

//

WHAT FOLLOWS MAY CONTAIN PRIVILEGED SAFETY INFORMATION.

USE FOR MISHAP PREVENTION PURPOSES ONLY.

//

1. GENERAL INFO//

OPFAC/(Five Digit Operating Facility Code)//

DATE/(Date in MMDDYY Format)//

TIME/(Time in HHMM Format)//

UNIT MISSION/(See Table 1 above)//

RELATED TO MISSION/(Yes or No—Is this an operational mishap?)//

TYPE OF BOAT/(See Table 2 above if applicable, NA if not)//

COXSWAIN DATA/GRADE:(E-4 for example)/**AGE:**(19 for example)/**MOS QUAL IN VSL:**(Number of months qualified on platform)/**MOS AT UNIT:**(Number of months at unit)// (NA if not applicable)

NARR/(Describe the event—use the worksheet above for guidance)//

CAUSE/(Primary cause of the mishap as per the worksheet above)//

ADD CAUSE/(Additional causes of the incident as per the above worksheet)// (Each type separated by a “”, NA if none)

ACTION/(Action taken to prevent this mishap from occurring again)//

2. PERSONAL INJURY DATA/NUMBER OF REPORTS:(Number of injured personnel)//

GRADE/(E-4, for example)//

RATE/(MK, for example)//

STATUS/(Status as per above worksheet. ON DUTY CG for example)//

PRI/(Primary body part injured)/(Nature of primary injury)//

SEC/(Secondary body part injured)/(Nature of secondary injury)//

SEVERITY/(LOST WORK, for example)//

PPE USED/(Type(s) of PPE used)// (Each type separated by a “”)

PPE REQ/(Type(s) of PPE required by the operation)// (Each type separated by a “”)

DAYS HOSP/(Number of days hospitalized)//

DAYS LOST/(Number of days of lost work time beyond the day of injury)//

DAYS REST/(Number of days in a restricted or fit for light duty status)//

(Repeat the above fields for each injury)

3. PROPERTY DAMAGE//

CG PROP DESC/(Description of Coast Guard property damaged)//

LOST OP DAYS/(Number of operational days lost for the CG property due to the mishap)//

CG PROP COST/CG MAT:\$(Cost of Coast Guard property or cost to repair in \$, 0.00 if none)/**LABOR:\$**(Cost of labor need to make repairs in \$, 0.00 if

none)/**CONTRACT:\$**(Cost of contractors needed for repairs in \$, 0.00 if none)//

NON-CG PROP COST/(Cost to repair non-Coast Guard property in \$, 0.00 if none)//

AUX COST/(Cost to repair Auxiliary property in \$, 0.00 if none)//

4. INVESTIGATOR/NAME/Name of mishap investigator)/(Phone number of mishap investigator)/(E-mail address of mishap investigator)//

BT

NNNN

E-MISHAP SYSTEM WEB LINK and GUIDE TO ONLINE MISHAP REPORTING

1. The E-Mishap System may be accessed at:

<http://cgweb.lant.uscg.mil/KDiv/kseMISREP/Default.asp>

2. The guide for using the E-Mishap System to report mishaps online can be found at:

<http://cgweb.lant.uscg.mil/Kdiv/kseMISREP/help/QuickGuide.doc>

UNIT INST 5100.xx

UNIT INSTRUCTION 5100.xx

Subj: PRE-MISHAP PLAN

Ref: (a) Safety and Environmental Health Manual, COMDTINST M5100.47

1. PURPOSE. This instruction establishes guidance for mishap response and reporting at Coast Guard Unit. Reference (a) provides additional guidance.
2. ACTION. All *[appropriate unit levels and personnel, i.e. department heads]* shall ensure compliance when a reportable mishap occurs as per reference (a).
3. DISCUSSION. It is Coast Guard policy that mishaps be reported. Prompt mishap investigation and reporting provides supervisors and managers with information to prevent mishaps and prioritize resources.
4. PROCEDURE.
 - a. Rescue and recovery phase. *(List personnel assigned rescue and recovery responsibility e.g., duty section, clinic, local EMS, fire department, etc. Either include phone numbers for each or provide specific direction where to find these, i.e. recall lists)*
 - b. Responsibilities:
 - 1)
 - 2)
 - 3) (etc.)

Responsibilities for the Permanent Unit Mishap Board, for drug and alcohol testing, release of information to the public (per COMDTINST M5728.2 (series)), next of kin notification (per Personnel Manual, COMDTINST M1000.6 (series)), obtaining of Critical Stress Incident De-brief, etc. should be specifically assigned with alternates
 - c. Preservation of evidence: Unit personnel shall secure the mishap scene and collect any information which may hold clues to the cause of the mishap. The mishap scene provides the most perishable information, so gathering on scene/onboard evidence, taking photographs, and making diagrams of the scene are the first investigative priorities. Additionally, the following evidence should be preserved and collected for the investigation:
 - 1) Maintenance record(s) of equipment involved
 - 2) Training records of those involve in the mishap.
 - 3) Service records of those involve.

- 4) Medical records of those involved.
 - 5) Unit/deck log
 - 6) Engineering logs.
 - 7) Standard bearing book.
 - 8) Standing orders, night orders, morning orders.
 - 9) Inspection log/records.
 - 10) Weather and sea state observed at the mishap scene, and forecast/analysis data from nearest NWS or FAA facility.
- d. Reporting. The following procedures shall be followed, as appropriate, when a mishap is reported:
- 1) Responding personnel shall make an initial determination as to the severity of the mishap.
 - 2) Responding personnel shall use the unit recall list to contact the *(appropriate personnel, e.g., CO, OIC, XO, OOD, Safety Officer, Unit Safety Coordinator)*.
 - 3) Immediately report all class A & B mishaps to Commandant via telephone through the chain of command.
 - 4) A preliminary message shall be sent for class A & B mishaps as per reference (a) within 12 hours.
 - 5) Class C & D mishap reports shall be initiated by the first line supervisor and submitted to the *(CO/OIC or OX/XPO)* within ## days of the mishap.
 - 6) Reporting format shall be in accordance with reference (a).
- e. Investigation of mishaps.
- 1) Commandant will assign a Mishap Analysis Board (MAB) to investigate most class A & B mishaps. Preservation of evidence shall be undertaken with the assumption that an MAB will convene. Every MAB shall produce a Mishap Analysis Report (MAR) in accordance with reference (a).
 - 2) MAB's are not normally assigned for off duty personnel not on Coast Guard property involved in a class A or B mishap, (e.g., private vehicle, sporting event, hobby, or authorized outside employment). Appropriate local authority (e.g., local police or fire department) normally will investigate these mishaps. Unit shall produce MAR in accordance with reference (a) and incorporate local authority findings in report unless directed otherwise by Commandant.
 - 3) All class C & D mishaps shall be analyzed and investigated per reference (a). The Unit safety board shall review all such reports.

CO/OINC Signature